United Nations ST/AI/1999/14

Secretariat

17 November 1999

Administrative instruction*

Performance Appraisal System

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1 and for the purpose of establishing a Performance Appraisal System pursuant to staff rule 101.3, promulgates the following:

Section 1
Scope of application

The present instruction applies to all staff members who do not report directly to the Secretary-General and who hold appointments of at least one year under the 100 series of the Staff Rules. Secretary-General's bulletin ST/SGB/1997/13 will apply to staff members who report directly to the Secretary-General.

Section 2
Purpose

The Performance Appraisal System (PAS) is designed to improve overall organizational performance by encouraging a higher level of involvement and motivation and increased staff participation in the planning, delivery and evaluation of work. The system establishes a process for achieving responsibility and accountability in the execution of programmes approved by the General Assembly. It is based on linking individual work plans with those of departments and offices and entails setting goals, planning work in advance and providing ongoing feedback. An important function of the PAS is to promote communication between staff members and supervisors on the goals to be achieved and the basis on which individual performance will be assessed, encouraging teamwork in the process.

Section 3
Appraisal period

3.1 Except as provided in sections 3.2 to 3.4, the performance cycle shall be an annual one, beginning on 1 January or 1 April of each year. The head of each department or office shall decide on the commencement date, based on the needs of that department or office, and shall inform the Under-Secretary-General for Management of that decision.

3.2 When a staff member takes up new duties upon recruitment, transfer or assignment in the course of the performance year, an individual work plan shall be established, a mid-point review conducted and an appraisal made for the period between the beginning of the new duties and the end of the performance year if such period is six months or more.

3.3 When a staff member or his or her supervisor is reassigned or transferred from a department or office, or is separated from service, an appraisal shall be made for the period between the beginning of the performance year and the reassignment, transfer or separation, if such period is six months or more.

3.4 A staff member may request a special evaluation report in respect of an assignment of less than six months in another work unit or in a mission. Such a report should be consistent with the principles of the PAS. The report should state what was expected of the staff member and whether this was discussed by the staff member and the supervisor. The supervisor should appraise the performance and give an

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overall performance rating consistent with the rating system set out in section 8. Special evaluation reports shall be included in the official status file of the staff member concerned.

Section 4
Work planning and goal setting

4.1 Prior to the beginning of the performance cycle, heads of departments and offices meet with the senior managers under their direct supervision and develop, as appropriate, a departmental or office work plan that will be the foundation for work unit plans. Departmental and work unit plans may be developed on an annual or biennial basis, depending on the needs of the department or office. In the light of these plans, programme managers meet with the staff under their direct supervision to ensure that the objectives of the work unit are understood, and annual individual work plans are drawn up. Supervisors may meet with the staff in their work unit either as a group or individually.

4.2 Each staff member prepares, in a timely manner, a draft work plan briefly describing the goals and specific actions for which the staff member is responsible during the performance year. Goals may include ongoing responsibilities, special projects or activities to be undertaken during the period. For each goal there should be an indication of how success will be determined. Differences of opinion between a staff member and the first appraising officer relating to an individual work plan should be resolved through discussion. If this is not possible, the first appraising officer should bring the matter to the attention of the second appraising officer. Regular feedback and guidance should be a mandatory requirement of the process.

4.3 Every staff member is expected to indicate at least one professional development goal to be achieved in the reporting period. The action to be taken may include special assignments, continuing education, on-the-job training, seminars, conferences or individual study.

4.4 All staff with managerial or supervisory responsibility for a work unit are also required to indicate managerial and supervisory goals that relate to managing the human and financial resources entrusted to them; leading, motivating and developing staff; and demonstrating gender and cross-cultural responsiveness.

Section 5
Mid-year performance review

5.1 In the middle of each performance year, the first appraising officer reviews with each staff member the manner in which the individual work plan has been carried out and provides performance feedback and guidance for the accomplishment of the goals set out in the work plan. At that time, the work plan may be revised if there have been significant changes in the nature of the functions carried out by the staff member, or if such revision is required to pursue revised goals of the work unit. Comments are required only in cases where there are changes in assignments or priorities, or where remedial action is proposed to close performance gaps.

5.2 Staff members and supervisors are encouraged to take the initiative to discuss work performance whenever needed in the course of the performance year, in addition to the mid-year performance review. As soon as a performance shortcoming is identified, the supervisor should discuss the situation with the staff member and take steps to rectify the situation, such as the development of a performance improvement plan, in consultation with the staff member.

Section 6
Year-end performance appraisal

6.1 The first appraising officer and the staff member meet at the end of the performance year to discuss the overall performance during the reporting period. Prior to the meeting, the staff member should prepare a preliminary assessment of the manner in which he or she has carried out the work plan defined at the beginning of the performance year. The first appraising officer appraises the extent to which the staff member has achieved the goals set and met the success criteria. The first appraising officer is also required to comment on the staff member's efficiency, competence and integrity in the performance of his or her functions, and assign an overall rating.

6.2 The second appraising officer reviews the performance appraisal form and signs it. He or she may also make comments, if desired.

6.3 Subsequently, the staff member receives the form for his or her signature. The staff member may make comments on the appraisal, and on the first appraising officer's role as a supervisor during the appraisal period, if desired. The second appraising officer forwards the completed form to the appropriate executive or personnel office for inclusion in the staff member's official status file.

Section 7
Responsibility for timely execution of the Performance Appraisal System

Primary responsibility for the timely execution of the PAS, including completion of the PAS forms, rests with the supervisor. Each staff member is required to provide in a

timely manner a draft individual work plan and to participate in scheduled discussions with the supervisor at the mid-year review and the year-end appraisal.

Section 8
Rating system

8.1 The PAS offers the following three ratings for staff who have met or exceeded expectations:

- Fully meets performance expectations;
- Frequently exceeds performance expectations;
- Consistently exceeds performance expectations.

These three ratings establish full satisfaction with the work performed and shall be so viewed when staff members having received those ratings are considered for renewal of a fixed-term appointment or selection for a post at the same or a higher level, without prejudice to the principle that such decisions remain within the discretionary authority of the Secretary-General.

8.2 Where staff do not fully meet the performance expectations, one of the following two ratings should be given:

- Partially meets performance expectations;
- Does not meet performance expectations.

These ratings indicate the existence of shortcomings, which may call for a specific remedial plan. A rating of "partially meets performance expectations" may justify the withholding of a within-grade increment, particularly if the same rating is given for a second consecutive year. A rating of "does not meet performance expectations" may lead to a number of administrative actions, such as transfer to a different post or function, the withholding of a within-grade increment, the non-renewal of a fixed-term contract or termination for unsatisfactory service.

Section 9
Management Review Committee

A Management Review Committee shall be constituted in each department or office. The members of the Committee, who shall be appointed by the head of the department or office, will normally be the senior line managers of that department or office. The Committee shall oversee and review the overall process of PAS implementation at the departmental level in order to ensure consistency at all phases of the process.

Section 10
Joint Monitoring Committee

10.1 A Joint Monitoring Committee shall be constituted in each department or office. The members of the Committee shall be appointed by the head of the department or office and shall consist of two members nominated by management, two members nominated by the staff from the department or office in accordance with local practice and a chairperson nominated by the head of the department or office in consultation with the staff. Each member shall serve for a two-year renewable term.

10.2 The Joint Monitoring Committee shall monitor and review the implementation of the PAS by the department or office concerned with respect to timeliness of the process, compliance with its procedures and overall results. It shall work with the department or office to support the institutionalization of the PAS in that department or office for the first three years following full implementation of the PAS, after which the necessity for maintaining Joint Monitoring Committees will be reviewed. The head of the department or office shall provide the Committee with the statistical information necessary to conduct this review. While the mandate of the Committee does not include consideration of individual cases, individual staff members may agree that their cases shall be considered in the context of a discussion of broader issues of general impact. The Joint Monitoring Committee shall draw the attention of the Management Review Committee of the department or office to any problems it perceives in the implementation of the PAS and may propose possible solutions.

10.3 The Joint Monitoring Committee shall meet three times a year, namely, at the performance planning stage, immediately after the mid-year review and at the appraisal stage at the end of the performance year. It shall prepare a compliance report for each of those stages. The reports concerning the performance planning stage and the mid-year review shall be submitted to the Management Review Committee through the head of the department or office. The report concerning the appraisal at the end of the performance year shall be submitted to the Global Joint Monitoring Committee within 45 days of the last working day of the relevant performance year. That report shall include a consolidation of the first two reports, a compliance review of the end-of-year appraisals and an overall summary of the PAS implementation process in the department or office for that year.

Section 11
Global Joint Monitoring Committee

11.1 The Global Joint Monitoring Committee shall be a subsidiary body of the Staff-Management Coordination Committee. The Global Joint Monitoring Committee shall be composed of two members nominated by management, two nominated by the staff and a chairperson appointed after staff consultation by the President of the Staff-Management Coordination Committee. Each member shall serve for a one-year renewable term. The Global Joint Monitoring Committee shall perform its functions for the first three years following full implementation of the PAS.

11.2 The Global Joint Monitoring Committee shall examine policy issues involved in PAS implementation. It shall review the reports submitted by Joint Monitoring Committees and prepare an annual report on the implementation of the PAS in the various departments and offices. That report shall include recommendations on the implementation and overall effectiveness of the PAS and shall be submitted to the Secretary-General through the Staff-Management Coordination Committee.

11.3 The Global Joint Monitoring Committee shall meet once a year, immediately prior to the annual meeting of the Staff-Management Coordination Committee, which will review the report of the Global Joint Monitoring Committee and transmit it to the Secretary-General.

Section 12
Rebuttal panels

12.1 In consultation with the staff representatives of the department or office concerned, the head of the department or office, or his or her representative, shall draw up a list of rebuttal panel members composed of three groups of staff members from the department or office concerned, in equal numbers. The list shall be composed as follows:

(a) Rebuttal panel members designated by the head of the department or office;

(b) Rebuttal panel members nominated by the staff of the department or office through an election that should identify at least twice the number of individuals required for this group;

(c) Rebuttal panel chairpersons, selected by the head of the department or office after consultation with the staff representatives of that department or office.

The approved list, subdivided as indicated above, shall comprise nine individuals in all for large departments or offices, six for smaller departments or offices. Every effort shall be made to obtain an appropriate geographical and gender balance, where possible. The head of department or office shall inform the staff in writing of the composition of the approved list.

12.2 Rebuttal panel members shall serve for a two-year term. In the event that a member of the rebuttal panel is assigned to functions outside the department or office concerned, he or she shall be replaced in accordance with the procedure relevant to the group to which the rebuttal panel member belongs.

12.3 In small offices where it may be difficult to constitute a list from the staff members of that office, the approved list may include staff members from other Secretariat offices at the same duty station, provided those staff members have the knowledge and experience required to review the appraisal and its rating.

Section 13
Rebuttal process

13.1 Staff members who disagree with the performance rating given at the end of the performance year may, within 30 days of signing the completed performance appraisal form, submit to their Executive Office at Headquarters, or to the Chief of Administration elsewhere, a written rebuttal statement setting forth briefly the specific reasons why a higher rating should have been given. Staff members having received the rating of "consistently exceeds performance expectations" may not initiate a rebuttal. The rebuttal statement shall contain the names of the three individuals, one from each of the three groups identified in section 12.1 above, whom the staff member has selected to serve on the rebuttal panel. A copy of the rebuttal statement shall be placed in the staff member's official status file.

13.2 After receiving a copy of the rebuttal statement, the head of department or office, or his or her representative, shall promptly prepare and submit to the rebuttal panel a brief written statement in reply to the rebuttal statement submitted by the staff member. A copy of the reply to the rebuttal statement shall be given to the staff member and placed in his or her official status file. Unless geographical location makes it impractical, the panel shall hear the staff member, the first and second appraising officers and, at the discretion of the panel, other staff members who may have information relevant to the review of the appraisal rating.

13.3 The rebuttal panels shall prepare with maximum dispatch a brief report setting forth the reasons why the original appraisal rating should or should not be maintained. The report of the rebuttal panel shall be placed in the staff member's official status file. The performance rating resulting from the rebuttal process shall be binding on the

head of the department or office and on the staff member concerned, subject to the ultimate authority of the Secretary-General as Chief Administrative Officer of the Organization, who may review the matter as needed on the basis of the record.

13.4 The rating resulting from an appraisal that has not been rebutted, or from the rebuttal process, shall not be subject to further appeal. However, administrative decisions that stem from any final performance appraisal and that affect the conditions of service of a staff member may be appealed.

Section 14
Performance Appraisal System and salary increments

14.1 Under staff rule 103.8 (a), the granting of salary increments is subject to the satisfactory performance and conduct of staff members as evaluated by their supervisors, unless otherwise decided by the Secretary-General in any particular case. The determination that service is "satisfactory" in respect of performance and the procedures for withholding a salary increment when such a determination cannot be made are governed by the provisions of this section.

Basis for the decision

14.2 The basis for the decision to award or withhold a salary increment on the basis of performance shall be the record of performance of the staff member as documented by the PAS.

14.3 The following ratings shall justify a determination that awarding a salary increment is warranted:

- Fully meets performance expectations;
- Frequently exceeds performance expectations;
- Consistently exceeds performance expectations.

14.4 One annual rating of "partially meets performance expectations" may justify the withholding of a salary increment, provided it is documented that, during the corresponding performance year, a performance improvement plan was put into place, in accordance with section 5.2 above, but that the staff member's performance failed to rise to a level that would justify a rating of "fully meets performance expectations".

14.5 Two consecutive annual ratings of "partially meets performance expectations" shall normally lead to the withholding of a salary increment.

14.6 One rating of "does not meet performance expectations" shall normally lead to the withholding of a salary increment.

Procedures

14.7 The decision whether to grant or withhold a salary increment shall be taken by the first appraising officer on the basis of the staff member's most recent PAS. The decision to withhold a salary increment shall be communicated to the staff member in writing, before the decision is implemented, by the Executive Office, with a copy to the Office of Human Resources Management, or by the local personnel office. Should the PAS rating on the basis of which a salary increment has been withheld be upgraded at a later stage as a result of the rebuttal process described under section 13 above, and should the new rating justify the award of the salary increment, that increment shall be awarded and made effective as from the date on which it would have otherwise been paid.

14.8 The decision to withhold an increment on the basis of a PAS rating is not subject to review by a rebuttal panel, which deals only with performance ratings, but may be appealed in accordance with Chapter XI of the Staff Rules.

Section 15
Performance Appraisal System forms and guidelines

15.1 The Office of Human Resources Management shall make available PAS forms and guidelines, which shall be available from the relevant executive or personnel office of the department or office concerned. The forms and guidelines shall also be available electronically.

15.2 The PAS guidelines are intended solely for general guidance and information. Should there be any inconsistency between the guidelines and the text of the present instruction, the provisions of the instruction shall prevail.

Section 16
Entry into force and transitory provisions

16.1 The present instruction shall enter into force on 1 December 1999.

16.2 Administrative instruction ST/AI/1997/8 and personnel directive PD/5/69 are hereby abolished.

(*Signed*) Joseph E. **Connor**
Under-Secretary-General for Management

United Nations ST/AI/1999/15

Secretariat

23 November 1999

Administrative instruction

Excess baggage, shipments and insurance*

The Under-Secretary-General for Management, pursuant to section 4.2 of the Secretary-General's bulletin ST/SGB/1997/1, and for the purpose of implementing staff rules 107.21, 107.27, 107.22, 207.20, 207.21, 307.6 and 307.7, hereby promulgates the following:

I. Excess baggage

Section 1
Conditions of entitlement

1.1 Staff members shall be entitled to payment of the cost of accompanied excess baggage, in respect of themselves and their eligible family members, when travelling by air in economy class or its equivalent, in accordance with the provisions of staff rules 107.21 (b), 207.20 (b) and 307.6 (b) and sections 1.2 to 1.4 of the present instruction.

1.2 On flights for which baggage allowance is calculated by airlines on the basis of weight, the entitlement to accompanied excess baggage shall be the difference in weight between the applicable free baggage allowance and the free baggage allowance by first class air travel.

1.3 On flights for which baggage allowance is calculated by airlines on the basis of pieces and size of baggage, with a maximum allowance per traveller of two checked bags, neither of which may exceed 62 inches or 158 centimetres in the sum of the linear measurements (length, height and width), staff members shall be reimbursed for excess baggage charges when the combined dimensions of both bags exceeds the limit of 106 inches or 270 centimetres allowed by the airlines. The amount of the reimbursement shall be one flat charge according to the airlines' schedules of rates.

1.4 Charges for excess baggage beyond the limits provided for in the above-mentioned staff rules and in this section shall not be reimbursable unless, in the opinion of the Secretary-General, the circumstances under which the staff member is travelling are of a sufficiently exceptional and compelling nature to warrant such reimbursement.

1.5 When necessary, a cash advance against a staff member's excess baggage entitlement may be authorized at his or her request.

Section 2
Conversion of excess baggage to unaccompanied shipment

2.1 Staff members who are entitled under staff rules 107.21 and 207.20 both to accompanied excess baggage and an unaccompanied shipment to the same destination may forgo the excess baggage entitlement for themselves and their eligible family members in return for an increase by an equivalent weight in their entitlement to unaccompanied shipment, whether by air or surface means of transport. Such conversion will be permitted in units of 10 kilograms.

2.2 The provisions in section 2.1 above shall not apply when the baggage allowance for any portion of the journey is calculated by airlines on the basis of pieces and size of baggage.

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Section 3
Conversion to excess baggage of unaccompanied shipment on home leave, family visit or education grant travel

When a staff member has an entitlement to an unaccompanied shipment of 50 kilograms or 0.31 cubic metres for home leave, family visit or education grant travel under staff rule 107.21 (g) (i) or 207.20 (h) (i), that entitlement may be converted either into the increased entitlement to excess baggage in accordance with section 1.2 of the present instruction or one flat charge in accordance with section 1.3.

Section 4
Claims and requests relating to excess baggage

Claims for reimbursement of excess baggage charges, requests for a cash advance against an excess baggage entitlement and accounting for the use of such advance, requests for conversion of excess baggage to unaccompanied shipment and for conversion of unaccompanied shipment to excess baggage under the provisions of the present instruction shall be made in accordance with the procedures set out in the information circular on excess baggage, shipments and insurance issued by the Assistant Secretary-General for Central Support Services.

II. Shipments

Section 5
Shipment entitlements

5.1 A staff member's shipment entitlements shall be determined in accordance with the provisions of staff rules 107.21, 107.27, 207.20 and 307.6 and the provisions of the present instruction.

5.2 A staff member will be considered to be within his or her entitlement if the shipment does not exceed either the weight or volume allowable under the above-mentioned staff rules.

5.3 If the shipment exceeds both the weight and volume maxima specified in the above-mentioned rules and additional charges are incurred as a result, the charges to be paid by the staff member shall be calculated on the basis of the ratio of the lesser amount of the excess net figure to the total net figure of the weight or volume shipped.

5.4 The entitlement to an unaccompanied shipment on education grant travel for the first outward journey to, and the final return journey from, an educational institution may also be authorized in cases of change of attendance to an educational institution in a different city or locality.

Section 6
Personal effects and household goods

6.1 Consistent with staff rules 107.21 (c) and 207.20 (d), the expression "personal effects and household goods" for the purposes of the present instruction shall mean effects and goods normally required for personal or household use, excluding animals and power-assisted vehicles. However, transportation of privately owned automobiles may be partially reimbursed under the provisions of section 12 of the present instruction.

6.2 Unaccompanied shipment or removal of personal effects and household goods shall be subject to the following conditions:

(a) Flammable and hazardous materials shall in no case be shipped at the expense of the Organization or be included in any shipment that it has arranged;

(b) The personal effects and household goods to be transported must be for the staff member's use or for that of his or her eligible family members;

(c) For removal shipments under staff rule 107.27, the personal effects and household goods must have been in the staff member's possession at the time of his/her appointment, change of duty station or separation, as applicable.

Section 7
Determination of weight or volume maxima

7.1 The weight or volume maxima of a staff member's shipment entitlements are determined in accordance with the provisions of staff rules 107.21 (f), 107.27 (d) (i), 207.20 (g) and 307.6 (c). When crating or lift vans are not used, but goods are packed into suitcases, cartons or trunks, the total weight or volume of the suitcases, cartons or trunks shall be considered the net weight or volume.

7.2 If the packing company cannot provide a weight or volume figure in net terms, i.e., inclusive only of packing, as well as gross terms, i.e., inclusive also of crating and lift vans, the net weight or volume shall be determined on the basis of two thirds of the gross weight or volume of the shipment. The Organization shall in no case recognize any difference between gross and net weight or volume that exceeds one third of the gross weight or volume. Should the crating exceed one third of the gross weight or volume, the difference shall be considered as part of the net shipment.

Section 8
Reimbursement of costs related to shipment

Reimbursement of costs related to the shipment shall be in accordance with the provisions of staff rules 107.21 (e), 107.27 (d) (ii), 207.20 (f) and 307.6 (c), as appropriate. The following costs shall not be payable:

(a) Import and export duties;

(b) Delivery from a storage warehouse to the staff member's residence, unless storage at United Nations expense has been authorized.

Section 9
Mode of transportation and conversion to alternative modes

9.1 Shipment shall be made by the most economical means, as determined by the Secretary-General, in which case the full entitlement provided by the Staff Rules shall apply, regardless of the mode of transportation.

9.2 When surface shipment is the most economical means of transport, conversion to air shipment may be authorized in accordance with the following provisions:

(a) On the basis of one half the weight or volume of the surface entitlement:

(i) The entire surface shipment entitlement under staff rules 107.21, 207.20 and 307.6 may be converted to air freight at the request of the staff member;

(ii) Part of the surface shipment entitlement under staff rules 107.21 and 207.20 may be converted to air freight, provided the Secretary-General determines that such partial conversion is necessary to meet urgent needs. However, no partial conversion shall be authorized for the 50 kilograms or 0.31 cubic metres shipment entitlement on home leave, family visit or education grant travel under staff rules 107.21 (g) (i) and 107.20 (h) (i);

(b) Exceptionally, the surface entitlement under staff rules 107.21, 207.20 and 307.6 may be converted to air freight on the basis of the full weight and volume:

(i) When the Secretary-General determines that there is an extraordinary risk of damage to, or loss of, a surface shipment in transit;

(ii) When a staff member is appointed or assigned to a special mission for a period expected to last six months or longer, and the Secretary-General determines that this is justified by the operational requirements of the mission;

(iii) When the normal shipping time would exceed three months, except for shipments on home leave, family visit or education grant travel under staff rules 107.21 (g) and 207.20 (h);

(c) A portion of up to 10 per cent of the surface entitlement under staff rules 107.21 (i) and 207.20 (j) may be converted to air freight on the basis of full weight or volume on appointment, on assignment of more than one year or on transfer, provided the staff member is appointed, assigned or transferred to a duty station other than a city where the headquarters of the United Nations, a specialized agency or the International Atomic Energy Agency is located. No conversion under this subsection shall be made on separation from service;

(d) If a portion of the surface shipment entitlement is converted to air freight on the basis of full weight and volume under subsection 9.2 (c) above, the remaining surface shipment entitlement may be converted to air freight on the basis of the one-half rule;

(e) When an entitlement to unaccompanied shipment as advance removal of personal effects and household goods has been converted on the basis of the one-half rule, twice the weight or volume of the air shipment shall be deducted from the staff member's removal entitlement under staff rule 107.27.

Section 10
Special entitlements at designated duty stations

Internationally recruited staff members serving at duty stations designated by the International Civil Service Commission shall have the following special entitlements in accordance with the provisions of the administrative instruction on special entitlements for staff members serving at designated duty stations:[1]

(a) An additional yearly shipment to the duty station in accordance with staff rules 107.21 (k) and 207.20 (k);

(b) An additional 50-kilogram shipment to the duty station in connection with the birth or adoption of an infant;

(c) When exercising their unaccompanied shipment entitlement of 50 kilograms or 0.31 cubic metres on home leave, family visit or education grant travel, or their alternative entitlement to increased accompanied excess baggage under section 3 of the present instruction, internationally recruited staff members serving at designated duty stations may use the unused portion of the entitlement on one leg of the travel to supplement the normal entitlement for the other leg of the travel.

Section 11
Split shipments

11.1 Shipments shall normally be made in one consignment. However, unaccompanied shipments for appointments of one year or longer under staff rules 107.21 (i) or 207.20 (j), and removal shipments under staff rule 107.27, may be split[2] when the following conditions are met:

(a) The staff member requests the shipment entitlement to be split into no more than two shipments, which must be by surface means when this is the most economical means of transport;

(b) The combined weight or volume of the two shipments does not exceed the total entitlement;

(c) The request for split shipments relates to:

(i) The entire entitlement to unaccompanied shipment or shipment on removal; or

(ii) The remaining portion of the shipment entitlement after the staff member has converted part of the surface entitlement to air freight under section 9.2 (c) of the present instruction; or

(iii) The remaining portion of the removal entitlement after a staff member has received advance shipment on removal under staff rule 107.21 (j).

11.2 Split shipments may be authorized between the following places of departure and destination:

(a) On appointment, assignment or transfer, one of the shipments must be to the initial or new duty station and may be from anywhere;

(b) On appointment, the other shipment may be from the place of recruitment to the place of home leave, or to the place where the staff member's spouse and/or dependent children reside;

(c) On assignment or transfer, the other shipment may be from the previous duty station to the new duty station, to the place of home leave or to the place where the staff member's spouse and/or dependent children reside;

(d) On separation, one of the shipments must be from the duty station, the other may be from anywhere. One of the shipments must be to the place of repatriation; the other may be to a location designated by the staff member, other than within the duty station area.

11.3 Subject to the weight and volume maxima established in staff rules 107.21 (i) or 207.20 (j) and 107.27 (d), the total cost of split shipments to be paid by the United Nations may not exceed the cost of shipping separately the actual weights or volumes of the two consignments between the single places of departure and destination, as authorized under staff rules 107.21 (d) and 207.20 (e).

11.4 In the case of special missions, split shipments may be authorized under terms and conditions established by the Secretary-General for each special mission.

11.5 Requests for split shipments shall normally be made before the staff member's departure or separation from service and not later than two months after arrival at the initial or new duty station or departure from the last duty station in the case of separation. However, where the assignment is for two years or more, the request for split shipments may be made within six months of arrival at the duty station.

Section 12
Transportation of privately owned automobiles

12.1 The cost of transporting a privately owned automobile to a duty station may be partially reimbursed to staff serving under the 100 series of the Staff Rules on initial appointment or change of duty station to an established office, and to project personnel serving under the 200 series when the following conditions are met:

(a) The appointment or assignment is for a duration expected to be two years or longer. If the initial appointment or assignment was for a lesser period, the request may be made when the initial period is extended to two years or longer;

(b) The staff member is expected to remain at the duty station for a period of not less than 18 months following the date of arrival of the automobile at the port of entry in the country of the duty station. Reimbursement may also be authorized for a newly purchased automobile arriving at a later date if the staff member can show that, at the time it was ordered, he or she was expected to remain at the duty station for a period of not less than 18 months;

(c) The duty station to which the automobile is transported is in a country or territory listed in an information circular issued for that purpose by the Assistant Secretary-General for Human Resources Management;

(d) The staff member is not being provided with an automobile for both official and private use;

(e) Transportation is, in the opinion of the Secretary-General, reasonable in the circumstances. In making such determination in the case of an automobile previously in the possession of the staff member, account will be taken of such factors as the age of the automobile, the potential loss on resale if not transported and the relative price of automobiles in the locality and at the duty station.

12.2 Reimbursement shall not exceed 75 per cent of the total costs of transportation (including freight, insurance and handling charges), subject to a maximum of $1,875. In the case of a new automobile purchased at, and imported to, a duty station in a country or territory listed in the information circular referred to in subparagraph 12.1 (c) above, the demonstrable shipping costs charged by the dealer may likewise be reimbursed, provided that the costs are reasonable in all the circumstances (including place of shipment in relation to nearest source of supply).

12.3 Amounts reimbursed under the present section shall be recovered if the automobile is sold before the end of the appointment or assignment or within three years of its arrival at the duty station, whichever is earlier, unless in the opinion of the Secretary-General the sale is justified by a need to replace the automobile, for example, as a result of wear and tear.

12.4 No reimbursement shall be made for the cost of transporting privately owned automobiles upon separation from service.

Section 13
Storage of personal effects and household goods under rule 107.27 (f)

13.1 Storage charges of personal effects and household goods under rule 107.27 (f) may be paid, provided that:

(a) The quantity of personal effects and household goods stored does not exceed the difference between the maximum allowance under rule 107.27 (d) (i) and the amount actually shipped under rule 107.21 (i);

(b) The charges do not extend beyond the five-year period following the effective date of the assignment. However, when a staff member's assignment is extended beyond five years for a period of up to two years at the same duty station, storage charges may continue to be paid for the period of such extension.

13.2 The charges to be paid shall include insurance coverage as provided in section 16.3 of the present instruction.

13.3 Storage charges shall not be paid in the case of mission or other assignments not involving a change of official duty station.

Section 14
Shipping arrangements and claims

In making their shipping arrangements and claims under part II of the present instruction, and in submitting requests for conversion of surface entitlements to air shipments, for split shipments, for transportation of privately owned automobiles or for storage, staff members shall follow the procedures set out in the information circular on excess baggage, shipments and insurance issued by the Assistant Secretary-General for Central Support Services.

III. Insurance

Section 15
Conditions of entitlement

15.1 A staff member's insurance entitlements shall be in accordance with staff rules 107.22, 207.21 and 307.7, and the provisions of the present instruction.

15.2 Where storage of personal effects and household goods under rule 107.27 (f) has been authorized, the Organization shall also pay the cost of insurance. Storage insurance related to the shipment while in transit is not included in the insurance entitlement, except when the Secretary-General determines that such storage is directly incidental to the transportation of the consignment.

15.3 In the case of unaccompanied shipments under staff rules 107.21 (h), (i) and (j), 207.20 (i) and (j) and 107.27, the staff member shall furnish the Organization, prior to shipment, with an itemized inventory of all articles, including containers such as suitcases, and the replacement value in United States dollars of each article in the shipments.

Section 16
Maximum insurance entitlements

16.1 The maximum insurance entitlement for unaccompanied shipments of staff serving under the 100 series of the Staff Rules appointed or assigned for less than one year, project personnel serving under the 200 series in short-term status and staff serving under the 300 series shall be $1,600.

16.2 The maximum insurance entitlement for unaccompanied shipments of staff members under the 100 series appointed or assigned for a year longer and of project personnel under the 200 series in intermediate or long-term status shall be:

(a) $16,000 for the individual staff member or project personnel;

(b) $8,000 for the first eligible family member; and

(c) $4,800 for each additional eligible family member.

16.3 For removal shipments under rule 107.27, inclusive of any advance shipment under rule 107.21 (j), the maximum insurance coverage shall be:

(a) $80,000 for a staff member without a spouse or dependent child; or

(b) $130,000 for a staff member with a spouse or dependent child.

16.4 The maximum insurance entitlement defined in section 16.3 above shall also apply to cover both the personal effects and household goods that may be stored in accordance with staff rule 107.27 (f) and the personal effects and household goods that may be shipped under staff rule 107.21 (i).

16.5 The insurance coverage provided under sections 16.1, 16.2 and 16.3 above shall not include articles of special value for which special premium rates are charged. In such cases the cost above the normal premium for insuring standard items is payable by the staff member even if he or she is within the overall insurance entitlement.

Section 17
Additional insurance coverage requirement

Staff members who are subject to national income taxation in respect of their United Nations salaries are required to have additional insurance coverage for the difference between the full value and the coverage provided by the United Nations under section 16 of the present instruction for their personal effects and household goods while in transit or in storage.

Section 18
Insurance arrangements and claims

18.1 In making their insurance arrangements and claims under part III of the present instruction, staff members shall follow the procedures set out in the information circular on excess baggage, shipments and insurance issued by the Assistant Secretary-General for Central Support Services.

18.2 Claims are payable at the rate in effect at the time of settlement.

Section 19
Final provisions

19.1 The present instruction shall enter into force on 1 December 1999.

19.2 The following administrative instructions are hereby abolished:

(a) ST/AI/176/Rev.3 and Corr.1, of 30 April and 15 October 1980, respectively, and ST/AI/176/Rev.3/Amend.1-4, of 14 April 1992, 13 June 1994, 11 March and 17 December 1996, respectively;

(b) ST/AI/229 and Add.1 and 2 of 29 September 1975, and 14 February and 8 July 1977, respectively;

(c) ST/AI/238/Rev.1 of 29 March 1982;

(d) ST/AI/254 and Amend.1 and 2 of 3 February 1978, 21 May 1986 and 14 March 1990, respectively;

(e) ST/AI/257 of 12 May 1978;

(f) ST/AI/264/Rev.1 and Corr.1, of 14 June and 2 December 1983, respectively and ST/AI/264/Rev.1/Amend.1 and 2 of 17 July 1985 and 5 May 1992, respectively;

(g) ST/AI/383 of 8 June 1993.

(*Signed*) Joseph E. **Connor**
Under-Secretary-General for Management

Notes

[1] ST/AI/280/Rev.6.

[2] "Split shipments" within the meaning of the present instruction refers to two consignments: (a) originating from one location but destined to two locations; (b) originating from two locations but destined to one location, or (c) originating from two locations and destined to two locations, as authorized under section 11.2 below.